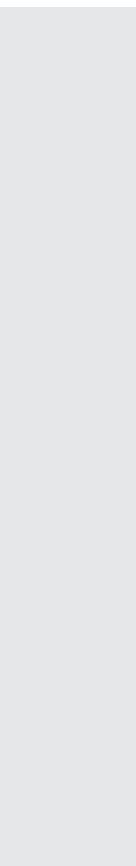


PGDB & Mico CPD Training

Topic: Supervision



Topic : Supervision

This covers the following:

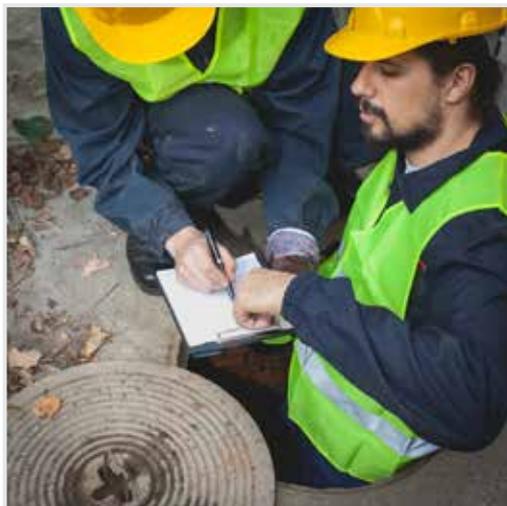
- Supervision guidelines developed by the Plumbers, Gasfitters and Drainlayers Board.
- What supervision is and why it is important.
- Important terms.
- Who is responsible for supervision?
- Key aspects to proper supervision.
- Persons who must be supervised when carrying out restricted work:
 - » trainees
 - » exemptions under supervision
 - » provisional licence holders (eligible overseas people)
 - » licensed tradespersons (plumbers, gasfitters, drainlayers).
- Ensuring the appropriate level of direction and control for a job.
- Types of supervision:
 - » direct supervision
 - » general supervision
 - » broad supervision.
- Remote supervision.
- Template for determining level of supervision required.
- The number of people who can be supervised by one supervisor.
- Weekend work.
- Systems and processes the certifier should have in place.
- Audit of your supervision system checklist.

Supervision guidelines

Supervision requirements have been prescribed in Registration and Licensing Gazette notices published by the Plumbers, Gasfitters and Drainlayers Board. These prescribed requirements and the supervision guidelines developed by the Board form the basis of Topic 1.

The Board developed supervision guidelines in response to industry feedback that there is a lack of clarity around how supervision should be implemented.

The purpose of these guidelines is to give practical guidance to the industry on what the Board considers to be best practice supervision.



These are guidelines only, as opposed to rules, and, are therefore not binding. However, as best practice statements, they will be used by the Board to assist it in determining when to take action against individuals for not exercising proper supervision. For that reason, it is important the industry understands and follows the guidelines provided.

What supervision is and why it is important

The definition of supervision in the Plumbers, Gasfitters, and Drainlayers Act 2006 (the Act) makes it clear that the supervision must involve direction and control that is sufficient to ensure the following occurs:

- That the work is performed competently.
- That appropriate safety measures are adopted.
- That the work is performed in compliance with the Act and regulations, and in the case of sanitary plumbing or drainlaying, regulations under the Building Act 2004; and in the case of gasfitting, regulations under the Gas Act 1992.

Supervision has two main purposes:

- It ensures standards of competency and safety are achieved by those who are authorised to undertake restricted work (quality control).
- It helps to build the overall capability of the industry.

Important terms

It is important to understand the following terms:

- ‘Restricted work’ means sanitary plumbing, drainlaying or gasfitting as those terms are defined in the Plumbers, Gasfitters, and Drainlayers Act 2006 (the Act).
- **Note:** Unauthorised people are NOT to carry out work even if the supervision is efficiently and sufficiently exercised.
- ‘Certifier’ means the registered and licensed certifying plumber, gasfitter or drainlayer who is the person responsible for supervision and who is recorded as the nominated supervisor on the Board’s database.
- ‘Nominated person’ means a person registered and licensed as a certifying or licensed plumber, gasfitter or drainlayer who performs physical supervision on behalf of the supervisor.
- ‘Supervisor’ means the certifier or nominated person who is physically supervising the work.

Who is responsible for supervision?

In the case of each trade, the certifier must supervise the relevant restricted work.

This doesn’t mean that the certifier actually has to physically supervise all the restricted work themselves. The certifier can also allow a nominated person (from the relevant trade) to physically supervise the work. This provides flexibility to arrange for someone else to actually physically supervise the work.

On most occasions the nominated person will be someone from within the same business. If someone from outside the business is engaged to physically supervise the work, the Board recommends that some sort of written acknowledgment or contract is entered into between the certifier and the nominated person recording this arrangement.

Even when a nominated person physically supervises restricted work on behalf of a certifier, it is the certifier who remains ultimately responsible for supervision at all times. This means that the certifier is responsible for having appropriate systems and processes of supervision in place and for ensuring an appropriate level of oversight is applied to each task even if the physical supervision of the work is being carried out by a nominated person.

Key aspects to proper supervision

The Board considers that there are two key aspects to proper supervision.

- The certifier must ensure that there are good systems and processes in place for exercising supervision. Without good systems and processes, it will be much more difficult for the supervision to be effective.
- The certifier must ensure that in relation to each particular task the appropriate level of 'direction and control' is applied.

Who must be supervised

The following persons must be supervised when carrying out restricted work:

- trainees
- exemptions under supervision (under sections 19, 21 and 25 of the Act)
- provisional licence holders (usually issued to overseas-qualified people)
- licensed tradespersons (plumbers, gasfitters, drainlayers).

Trainees

During their first year of holding a limited certificate (issued under section 14 of the Act) a trainee carrying out restricted work must be in the presence of the certifier or a nominated person (from the relevant trade). After the first year, trainees still have to be supervised but it doesn't need to be at the 'in the presence of' level.

In the case of plumbing and drainlaying, the certifier must ensure that it has been performed competently and complies with the requirements of regulations under the Act and regulations under the Building Act 2004.

In the case of gasfitting, only a certifying level tradesperson can certify that the work complies with regulations under the Gas Act 1992.



Exemptions under supervision (under sections 19, 21 and 25 of the Act)

During the first two years of working under an exemption under supervision, a person carrying out restricted work must be in the presence of the certifier or a nominated person (from the relevant trade). After the first two years the person must still be supervised but it doesn't need to be at the 'in the presence of' level.

In the case of plumbing and drainlaying, the certifier must ensure that work has been performed competently and complies with the requirements of regulations under the Act and regulations under the Building Act 2004.

In the case of gasfitting, the person physically supervising the work (the supervisor or nominated person) must be the person who disconnects the gas supply before the work commences, must ensure that no pipe or appliance is connected to the gas supply while the work is being carried out and must be the person who connects the supply of gas to the work when it is completed. The certifier supervisor or nominated person must be the person who tests the work. A certifying level tradesperson must certify that it complies with regulations under the Gas Act 1992.

Provisional licence holders

Provisional licenses are temporarily issued to overseas-qualified people who are potentially eligible to apply for registration in New Zealand subject to them sitting and passing their Board exams.

A person holding a provisional licence must be supervised by the certifier or a nominated certifying person when carrying out restricted work.

In the case of plumbing and drainlaying, the certifier must ensure that work has been performed competently and complies with the requirements of regulations under the Act and regulations under the Building Act 2004.

In the case of gasfitting work, a certifying level tradesperson must certify that the work complies with regulations made under the Gas Act 1992.

Licensed tradespersons (plumbers, gasfitters, drainlayers)

Certifiers are responsible for the supervision of restricted work performed by the licensed tradespersons who work under them. Any physical supervision that may be required may be carried out in any particular case by the supervisor or a nominated person if they are a certifier in the relevant trade.

In the case of plumbing and drainlaying, the certifier must ensure that it has been performed competently and complies with the requirements of regulations under the Act and regulations under the Building Act 2004.

In the case of gasfitting work, a certifying level tradesperson must certify that the work complies with regulations made under the Gas Act 1992.

Ensuring the appropriate level of direction and control for a job

In each case the certifier must ensure that the level of 'direction and control' that they apply is appropriate.

This means that in each case the certifier should be assessing the following factors before deciding which level of direction and control needs to be applied:

- The level of competence of the person being supervised to perform that work. Have they been trained to do this work? Is there anything in their work history that affects the assessment of their competence? The more experienced and competent they are, the lower the level of supervision required.
- Any actual or potential issues with the work and the reasons for those issues. If there are issues with the work, a higher level of supervision may be required.
- The job's geographical location.
- The type and complexity of plumbing work being undertaken. More complex work will require a higher level of supervision.
- The time lines, costs and risks of the work. Tight timelines, higher cost work and higher risk work may all indicate the requirement for a higher level of supervision.
- The overall risk to safety, health and the environment. Higher risk work will require a higher level of supervision.

Once the certifier has balanced these factors they can then ensure that the appropriate level of direction and control is applied.

Direct supervision	General supervision	Broad supervision
<ul style="list-style-type: none"> • Direct supervision is when the supervisor constantly monitors the supervisee, reviewing their work practices and standards of work. This includes dedicated oversight of all activities performed and requires the supervisor to be in the presence of the supervisee at all times. This means within visual contact and / or earshot (audible range). <ul style="list-style-type: none"> » Direct supervision is required of all trainees during the first year of their limited certificate and must always be performed by the certifier or nominated person. » Direct supervision is required of all persons working under an exemption under supervision (under sections 19,21 or 25 of the Act) during the first two years and must always be performed by the certifier or a nominated person (from the relevant trade). » In the case of gasfitting work carried out under supervision pursuant to section 21 of the Act, the person physically supervising the work must be the person who disconnects the gas supply before the work commences, must ensure that no pipe or appliance is connected to the gas supply while the work is being carried out and must be the person who connects the supply of gas to the work when it is completed. » In the case of gasfitting, for all levels of supervision, only a certifying level tradesperson can certify that the work complies with regulations under the Gas Act 1992. 	<ul style="list-style-type: none"> • General supervision describes a situation in which the supervisor is not constantly reviewing the supervisee but remains in face-to-face contact on a recurrent (periodic) basis. • The supervisor continues to provide instruction and direction for tasks to be performed and must test the supervisee's work prior to commissioning. • Although not necessarily in close proximity, the supervisor must be contactable for assistance or instruction as required. 	<ul style="list-style-type: none"> • Broad supervision is only suitable for supervisees who have demonstrated an ability to conduct the intended work autonomously. • In this situation, the supervisor need only make occasional face-to-face contact but should continue to provide instruction and direction for tasks to be performed and the supervisor must inspect and test the supervisee's work prior to commissioning. • Although not necessarily in close proximity, the supervisor must be contactable for assistance or instruction as required.

Direct supervision	General supervision	Broad supervision
<p>Will also be appropriate in the following circumstances:</p> <ul style="list-style-type: none"> • When the supervisee is new to the task or has not yet demonstrated consistent ability to perform the task to a minimum standard. • The job contains variations to basic work that are new. • The formally assessed hazards and risks related to the task indicate direct supervision is appropriate. • The supervisee has not yet completed off the job training that supports competent performance of the task. • There is a reasonable chance for unplanned events that may be beyond the supervisee’s current ability to manage. 	<p>Is normally appropriate where:</p> <ul style="list-style-type: none"> • The supervisee has previously demonstrated their ability to perform the task safely and to minimum standards without the need for constant intervention. • The supervisee clearly understands when and how to seek assistance and support. • The formally assessed hazards and risks related to the task indicate general supervision is appropriate. • The supervisee has an appropriate level of knowledge and practical skill from either or both on-the-job or off-the-job learning. • The supervisee has previously demonstrated an ability to manage reasonably predictable unplanned events. 	<p>May be appropriate where:</p> <ul style="list-style-type: none"> • The supervisor has knowledge of the work. • The supervisee has previously demonstrated their ability to perform the task safely and to acceptable standards without the need for supervisor intervention. • The supervisee has demonstrated an understanding of any hazards and risks involved with the task and an ability to manage the risks appropriately. • The supervisee clearly understands when and how to seek assistance and support. • The formally assessed hazards and risks related to the task indicate broad supervision is appropriate. • The supervisee has a significant level of knowledge and practical skill from both on-the-job and off-the-job learning. • The supervisee has previously demonstrated an ability to manage (or seek assistance with) unplanned events that may occur.

Remote supervision

If the circumstances dictate that direct supervision is required, then it will never be acceptable to use technology such as iPads and mobile phones to perform that supervision remotely.

However, if the circumstances indicate that either general or broad supervision is suitable then some level of technology use will be appropriate.



The Board has become aware of the practice of certifiers from the three trades essentially making a business of farming themselves out to businesses that do not employ certifiers.

The Board is of the view that this practice is an acceptable way of providing supervision only in very limited circumstances. The certifier remains responsible for ensuring that there are appropriate systems and processes in place for dealing with supervision and will be responsible for ensuring that all auditing and training required by that system is delivered.

The certifier also remains responsible for the identifying and implementing the appropriate level of supervision required for each particular task. The view of the Board is that these responsibilities mean that it is unlikely that supervision from a different geographic location will be appropriate.

Although technology such as iPads and mobile phones make some remote supervision possible, the certifier still has to have sufficient information to adopt the appropriate level of supervision in each case and provide appropriate physical assistance when required.

The Board is of the view that in most circumstances these important roles cannot be performed exclusively at the end of a phone or internet connection.



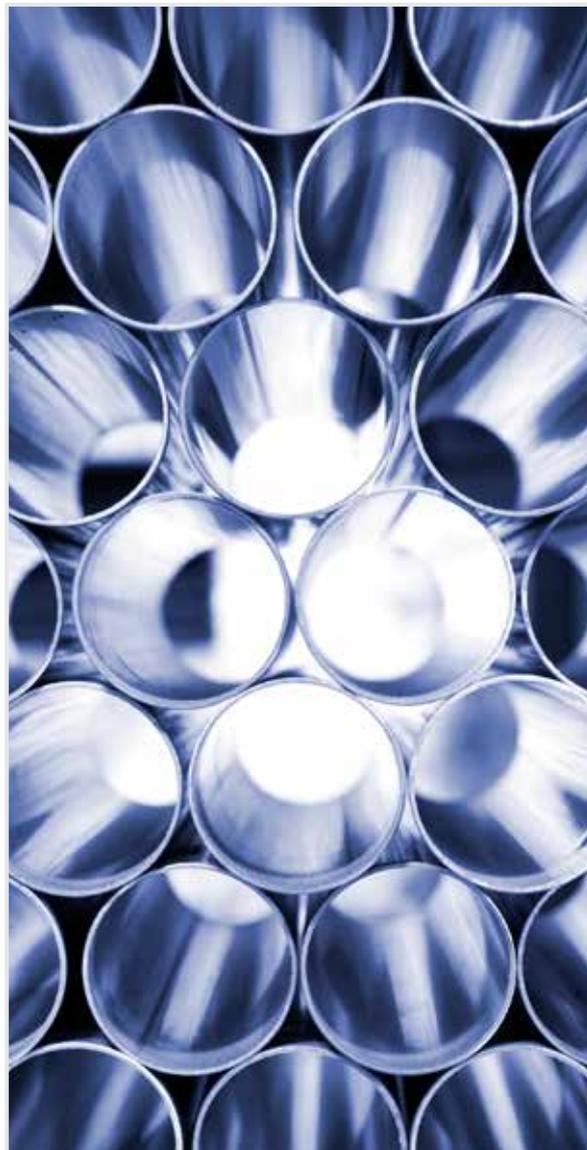
Template for determining level of supervision required

To assist you in keeping yourself safe, the Board has developed a template to assist you when making a decision about what level of supervision is required for a particular job.

Use of this template is not mandatory, but the value of using the template is that it is a practical way of being able to demonstrate that you did consciously address the issue of supervision in relation to a particular job.

If the Board is ever in a position of investigating a complaint, the existence of this template on the job file, or a similar one of your design, will be evidence that supervision was properly addressed by you.

The supervision template is reproduced on the next two pages. Work through the template and use it to answer the questions that follow.



Template for determining level of supervision

Job description:

Supervision assessment:

Is the person a Trainee in their first year? Yes / No	If yes then they require direct supervision
Is the person an exemption under supervision in their first two years? Yes / No	If yes then they require direct supervision
What is the level of competence of the person performing the work? High, Medium or Low	Low = direct supervision Medium = general supervision High = broad supervision
Have they had problems with this type of work in the past? Yes / No	Yes = direct supervision No = general or broad supervision
How complex is the work? Are there any particular issues with the work? If so, does the person have the experience to deal with those issues/ that complexity Yes / No	Yes = direct supervision No = general or broad supervision
What is the geographic location of the work? Nearby / Remote	Remote = generally only suitable for broad supervision Nearby = direct or general supervision
Timelines – Tight / Flexible	Tight = general or direct supervision with less experienced staff. Broad for experienced staff. Flexible = any form of supervision probably appropriate
Costs – Tight / Flexible	Tight = general or direct supervision with less experienced staff. Broad for experienced staff Flexible = any form of supervision probably appropriate

<p>Health and safety risk to person performing work. High / Medium / Low</p>	<p>High = direct or general supervision with less experienced staff. Broad for experienced staff.</p> <p>Medium = general supervision generally ok unless other factors indicate direct supervision required.</p> <p>Low = any form of supervision probably appropriate.</p>
<p>What is your assessment of overall risk to public health and safety and the environment? High / Medium / Low</p>	<p>High = direct or general supervision with less experienced staff. Broad for experienced staff.</p> <p>Medium = general supervision generally ok unless other factors indicate direct supervision required.</p> <p>Low = any form of supervision probably appropriate.</p>

Name of employee assigned work and method of supervision of each employee:

Note:

Direct supervision: Supervisor constantly monitors the Supervisee reviewing their work practices and standards of work. This includes dedicated oversight of all activities performed and requires the Supervisor to be in the presence of the Supervisee at all times. This means visual contact and/or earshot (audible range.)

General supervision: Supervisor is not constantly reviewing the Supervisee but remains in face-to-face contact on a recurrent (periodic) basis. The Supervisor continues to provide instruction and direction for tasks to be performed and must test the Supervisees work prior to commissioning. Although not necessarily in close proximity, the Supervisor must be contactable for assistance or instruction as required.

Broad supervision: Only suitable for Supervisees who have demonstrated an ability to conduct the intended work autonomously. The Supervisor need only make occasional face-to-face contact but should continue to provide instruction and direction for tasks to be performed and the Supervisor must inspect and test the Supervisee’s work prior to commissioning. Although not necessarily in close proximity, the Supervisor must be contactable for assistance or instruction as required.

How many people can be supervised by one supervisor?

How many people can be supervised by one supervisor very much depends on a number of factors that need to be balanced by the certifier.

The factors that the certifier should balance are:

- The level of supervision required in terms of the complexity of the work being performed.
- The risks involved.
- The experience of those performing the work.

A certifier trying to determine this issue must always remember that the supervision they put in place has to be capable of being effective.

The types of questions that the certifier should consider are:

- Will the supervisor be in eyesight / earshot of those requiring direct supervision?
- Will the supervisor have the time to be able to train those who need to be trained in the skills required for the job?
- Will the supervisor have time to review the work of those they are supervising?
- Will the supervisor have the ability to manage any unforeseen events that may occur?



If a supervisor can't answer yes to the above, they are trying to supervise too many people.

After-hours work

The Board recommends that all employers have employment agreements with their employees detailing what after-hours work a tradesperson may carry out, if any, and under what conditions.

If after-hours work is allowed, then the agreement should provide that it be done with the supervisor’s knowledge and approval.

In addition, any employer who does allow after-hours work should have a discussion with their insurance provider regarding cover for such work. If after-hours work is not permitted, then the contract should forbid them from carrying out after-hours work.

This will mean that any after-hours work that their employee carries out will be unsupervised and, as a consequence, will be unauthorised work.



A large rectangular area with a light blue background and horizontal dashed lines, intended for handwritten notes or answers.

Systems and processes the certifier should have in place

It is an important part of supervision that the certifier has good systems and processes in place.

The Board considers that this means that the certifier will ensure that the systems and processes they establish have the following features:

- A practical management system in place demonstrating (through checks and balances) that the restricted work performed has been carried out safely, competently and in accordance with the regulations and the prescribed standards.
- Regular assessments of performance and skills of those supervised to highlight areas where further training may be required.
- The provision of corrective and further training where required.
- The provision of regular instruction and / or guidance to those being supervised.
- Knowledge of daily work activities and supervision.

Audit of your supervision system

To assist you in keeping yourself safe, the Board has developed an audit checklist to help you determine whether or not you have adequate systems and processes in place for managing supervision.

Use of this checklist is not mandatory but, as with the supervision template, the value of using the checklist is that it is a practical way of being able to demonstrate that you have consciously addressed the issue of supervision.

If the Board is ever in a position of investigating a complaint, the existence of this template on the job file, or a similar one of your design, will be evidence that supervision was properly addressed by you.

The checklist is reproduced on the next page. Work through the checklist and use it to answer the question that follows.



Audit of your supervision system

(You should use this form to determine whether or not your current system of supervision is adequate.)

Do you have systems and processes in place for managing supervision?	Yes	No
Does that system result in you having a record that would demonstrate your imposition of effective supervision?	Yes	No
Do those systems and processes include checks and balances to ensure that all restricted work is performed safely, competently and in accordance with the Regulations and the prescribed standards?	Yes	No
Do you routinely assess the performance and skills of those supervised to highlight areas where further training may be required?	Yes	No
Do you provide corrective and further training where a need is identified?	Yes	No
Do you otherwise provide regular instruction and/or guidance to those being supervised?	Yes	No

If you answer no to any of these questions, then that is an area where you will need to focus some attention to improve your supervisory practices.

